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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/032,610	01/02/2002	Kristin Gallina Lovejoy	111370.141	6001

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701 PENNSYLVANIA AVENUE, N.W.
WASHINGTON, DC 20004

EXAMINER

OYEBISI, OJO O

ART UNIT	PAPER NUMBER
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3694

MAIL DATE	DELIVERY MODE
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01/11/2008

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	10/032,610	LOVEJOY ET AL.	
	Examiner	Art Unit	
	OJO O. OYEBISI	3694	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 04 October 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-31 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-31 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

In the amendment filed on 10/04/2007, the following have occurred: claims 6, 7, 14, 15, 21, 22, 29 and 30 have been amended, and claims 1-31 are currently pending.

Claim Rejections - 35 USC § 103

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148

USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

2. Claims 1, 4, 9, 12, 17-19, 24, 27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Applicant's Background of the Invention (ABI hereinafter, Pub no.: **20020138416, please see the disclosed background of the invention**) in view of *Kalyan (US PAT: 6266655)*.

Re claims 1, 9, 17 and 24. ABI discloses a method for assessing and/or managing risks for an organization, comprising the steps of: (a) inventorying a plurality of assets of the organization, wherein each asset is defined to be one of an electronic asset type

and a location asset type, and wherein the electronic asset type includes computers and networking equipment therefor and the location asset type includes physical locations where the electronic asset types are placed (i.e., **Inventory and definition**. In order to measure the theoretical impact of a risk, the organization determines its assets (e.g., electronic devices, electronically stored data, etc.) that are involved in support of critical processes, see paras 0015 of the applicant's specification); (b) identifying at least one criterion defining a security objective of the organization (i.e., Vulnerability and threat assessment, see paras 0017); (c) identifying one or more inventoried assets that relate to the identified criterion (i.e., Once assets have been identified, a value is assigned to each asset, see paras 0015), and (e) assessing the risk to the organization based on the measured values of the one or more metric equations (i.e., Once risk has been assessed and identified, the organization can choose to accept the risk, mitigate the risk, or transfer the risk, see paras 0024). ABI does not explicitly disclose formulating one or more metric equations for each identified criterion, each metric equation being defined, in part, by the one or more identified assets, wherein each metric equation yields an outcome value when one or more measurements are made relating to the identified assets. However, Kalyan discloses the formulating and solving of equations for identified criteria (see the abstract, also see fig4 elements 43 and 44). Thus it would have been obvious to one of ordinary skill in the art to incorporate the teachings of Kalyan into ABI to formulate and solve metric equations defining one or more assets of the organization since doing so would provide answers to business organizational questions in a more efficient and systematic way. Further, it is old and well-known in the

business and scientific world to set up metric equations for measured variables, wherein this statement of equality between two expressions consisting of variable and /or numbers is used to answer business organizational questions in a systematic way.

Thus, it would have been obvious to one of ordinary skill in the art to incorporate the old and well-known teachings supra into ABI to find answers to business organizational questions in a more efficient and systematic way.

Re claims 4, 12, 19, 27. ABI further discloses the method, wherein the plurality of assets are defined to be one of a user type, a user population type, a data type and a network type in addition to the electronic type and the location type, wherein the user type relates to an individual user and the user population type relates to a group of users (i.e., e.g., electronic devices, electronically stored data, etc., see paras 0015).

Re claim 18. ABI further discloses the system , wherein the computer is further configured to: electronically scan the plurality of assets (i.e., There are a number of tools available to electronically scan electronic devices and assess vulnerabilities within electronic devices, see paras 0019); interview members of the organization to identify the plurality of assets; and manually identify the plurality of assets (i.e., inventory and definition, paras 0015).

3. Claims 2, 3, 5-8,10, 11, 13-16, 20-23, 25-26, and 28-31 are rejected under 35 U.S.C. 103(a) as being unpatentable over ABI in view of Kalyan as applied to claim 1 supra, further in view of Norton et al (Norton, hereinafter. Pub No.: 2002/0091699).

Re claims 2, 10, 25. ABI does not explicitly disclose the method wherein the step (a) comprises the step of: identifying the plurality of assets and storing the identified assets into a database. However, Norton makes this disclosure (i.e., standardized asset database, see fig. 1a, see also col.1 paras 0003). Thus, it would have been obvious to one of ordinary skill in the art to incorporate the teachings of Norton into ABI and Kalyan to effectively manage access to the asset information.

Re claims 3, 11, 26. ABI further discloses the method, wherein the step of identifying the plurality of assets comprises at least one of: electronically scanning the plurality of assets (i.e., There are a number of tools available to electronically scan electronic devices and assess vulnerabilities within electronic devices, see paras 0019); interviewing members of the organization to identify the plurality of assets; and manually identifying the plurality of assets (i.e., inventory and definition, paras 0015).

Re claims 5-8, 13-16, 20-23, 28-31. ABI does not explicitly disclose the method, further comprising the step of: establishing at least one relationship between the plurality of assets. However, Norton makes this disclosure (see fig.8, also see col.4 paras 0085-0090). Thus, it would have been obvious to one of ordinary skill in the art to incorporate the teachings of Norton into ABI and Kalyan to effectively manage access to the asset information.

Response to Arguments

The applicant argues in substance that the primary reference, ABI, fails to teach "a location asset type that includes the physical location of an electronic asset." Contrary to the applicant's assertion, ABI teaches "In order to measure the theoretical impact of a

risk, the organization determines its assets (e.g., electronic devices, electronically stored data, etc.) that are involved in support of critical processes, see paras 0015 of the applicant's specification." Thus the examiner contends that the assets that are determined by the organization encompass all asset types. Further, Paragraph 0015 of applicant's background of the invention clearly states that the organization determines its assets which obviously include location and electronic asset types.

The applicant further argues that ABI fails to disclose identifying at least one criterion defining a security objective of the organization. Contrary to the applicant's assertion, ABI teaches Vulnerability and threat assessment, see paras 0017 of applicant's background of the invention. The examiner contends that Vulnerability and threat assessment are criteria defining a security objective of the organization.

The applicant further argues that ABI fails to teach identifying one or more inventoried assets that relate to the identified criterion. Contrary to applicant's assertion, ABI teaches identifying assets and assigning a value to each asset, see paras 0015 of applicant's background of the invention.

The applicant further argues that ABI fails to teach assessing the risk to the organization based on the measured values of the one or more metric equations. Contrary to the applicant's assertion, ABI teaches identifying and assessing the risk of the organization, see paras 0024 of applicant's background of the invention.

All in all, every other argument is moot in view of new ground of rejection.


Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to OJO O. OYEBISI whose telephone number is (571) 272-8298. The examiner can normally be reached on 8:30A.M-5:30P.M.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, JAMES TRAMMELL can be reached on (571)272-6712. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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